
PROJECT SUMMARIES

ASYMMETRIC WARFARE IN SOUTH ASIA

Peter R. Lavoy, Assistant Professor
Department of National Security Affairs
Sponsor: Naval Engineering Logistics Office

OBJECTIVE: The goal of the project is to conduct a comprehensive analysis of the 1999 India-Pakistan conflict in Kargil.

DoD KEY TECHNOLOGY AREAS: Other (Asymmetric Warfare)

KEYWORDS: India, Pakistan, Weapons of Mass Destruction

DEFENSE GROUP ON PROLIFERATION SEMINAR ON BIO-DEFENSE

Peter R. Lavoy, Assistant Professor
Department of National Security Affairs
Sponsor: Office of the Secretary of Defense

OBJECTIVE: The goal of this research is to organize and host a conference of bio-defense for the U.S. co-chair of the NATO senior Defense Group on Proliferation (DGP) and to provide additional research support as required.

DoD KEY TECHNOLOGY AREAS: Other (Bio-Defense)

KEYWORDS: Biological weapons, Bio-defense, NATO

NATO AND BIO-DEFENSE

Peter R. Lavoy, Assistant Professor
Department of National Security Affairs
Sponsor: Defense Threat Reduction Agency

OBJECTIVE: The goal of this project is to host a NATO seminar on Bio-defense in Monterey, CA, 27-29 June 2001.

DoD KEY TECHNOLOGY AREAS: Other (Bio-Defense)

KEYWORDS: Biological Weapons, NATO

REGIONAL SECURITY EDUCATION PROGRAM FOR CARL VINSON BATTLE GROUP

Peter R. Lavoy, Assistant Professor
Department of National Security Affairs
Sponsor: Commander, Pacific Fleet

OBJECTIVE: The goal of this project is to provide educational briefings to the Carl Vincent Battle Group to enhance regional situational awareness of deploying Naval forces.

DoD KEY TECHNOLOGY AREAS: Manpower, Personnel and Training

KEYWORDS: Regional Security

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GLOBAL CIVIL MILITARY RELATIONS

Maria Rasmussen, Associate Professor
Department of National Security Affairs
Sponsor: National Democratic Institute

OBJECTIVE: The Naval Postgraduate School's Center for Civil-Military Relations (NPS-CCMR) and the National Democratic Institute (NDI) have agreed to form the Partnership for Democratic Civil-Military Relations (DCMR). Over a period of three years, the Partnership will launch a series of initiatives intended to facilitate education and dialogue on civil-military relations in new democracies. The objectives of this Partnership are: (i) The Partnership will develop a global information clearinghouse of documents and other civil-military documents. (ii) NPS-CCMR will produce and translate a series of publications combining practical experience with theoretical knowledge. (iii) NPS-CCMR will assist the Universidad Torcuato di Tella in Argentina to develop a one-semester security affairs seminar, which can then be adapted by graduate-level international affairs programs and non-governmental organizations.

DoD KEY TECHNOLOGY AREAS: Other (Civil-Military Relations)

KEYWORDS: Civil-Military Relations, Security Affairs

MILITARY POLICIES OF POST-SOVIET STATES: SOURCES AND CONDUCT

Mikhail Tsypkin, Associate Professor
Department of National Security Affairs
Sponsor: Naval Information Warfare Activity

OBJECTIVE: A study of military policies of post-soviet states will focus on the decision-making mechanisms for formulation and implementation of military policies, impact of revolution in military affairs, and process of military reform.

DoD KEY TECHNOLOGY AREAS: Other (Military Policy)

KEYWORDS: Russia/Ukraine, Military/Security, Doctrine, Decision Making

ARMS CONTROL COMPLIANCE: FUTURE ISSUES

James J. Wirtz, Professor
Department of National Security Affairs
Sponsor: Strategic Systems Program

OBJECTIVE: The purpose of this project is to provide support to the Naval Treaty Implementation Program (SP2025) by responding to a series of research questions related to arms control compliance.

PUBLICATIONS:

Wirtz, J. and Larsen, J., "U.S. Missile Defenses: Three Scenarios and their International Consequences," *National Security Studies Quarterly*, Vol. VII, Issue 4, Autumn 2001.

PRESENTATIONS:

Alibek, K., "Biological Threat and Defense," Navy Treaty Implementation Program Workshop, Naval Postgraduate School, Monterey, CA, 8 February 2001.

Wirtz, J., "Arms Control and Cooperative Security in the 21st Century," International Studies Association Annual Meeting, Chicago, IL, 25 February 2001.

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THESIS DIRECTED:

Watson, S., "Nuclear Weapons Accidents and Accidental Nuclear War: Is Pakistan at Risk?" Masters Thesis, Naval Postgraduate School, June 2001.

DoD KEY TECHNOLOGY AREAS: Other (Arms Control)

KEYWORDS: Arms Control, WMD, Counterproliferation

ARMS CONTROL IN THE NEW MILLENNIUM

James J. Wirtz, Professor
Department of National Security Affairs
Sponsor: U.S. Air Force Headquarters

OBJECTIVE: This project will explore the role of arms control in national security and its contribution to the international stability and U.S. national interest at the dawn of the 21st century. A diverse group of experts on arms control, national defense, proliferation and regional studies will explore the background of arms control theory, its successes and failures during the Cold War, changes to the international security environment in the past fifteen years, and the likelihood of future arms control agreements in various issue areas and geographic regions. Together these analysts will explore contemporary arms control issues and assess the future prospects for arms control policy in U.S. foreign policy and national security strategy.

PUBLICATIONS:

Carr, C., "Africa," *Arms Control, Cooperative Security in a Changed Environment*, Larsen, J., ed., 2001.

Chevrier, M. "Chemical and Biological Weapons," *Arms Control, Cooperative Security in a Changed Environment*, Larsen, J., ed., 2001.

Foerster, S., "The International Context *Arms Control, Cooperative, Security in a Changed Environment*, Larsen, J., ed., 2001.

Husbands, J., "Conventional Weapons," *Arms Control, Cooperative Security in a Changed Environment*, Larsen, J., ed., 2001.

Kartchner, K., "A New Offense/Defense Force Mix," *Arms Control, Cooperative Security in a Changed Environment*, Larsen, J., ed., 2001.

Larsen, J., "Introduction: The Roles and Objectives of Arms Control," *Arms Control, Cooperative Security in a Changed Environment*, Larsen, J., ed., 2001.

Lavoy, P., "South Asia," *Arms Control, Cooperative Security in a Changed Environment*, Larsen, J., ed., 2001.

McCausland, J., "Europe," *Arms Control, Cooperative Security in a Changed Environment*, Larsen, J., ed., 2001.

McFate, P., "The Final Frontier: Arms Control in Outer Space," *Arms Control, Cooperative Security in a Changed Environment*, Larsen, J., ed., 2001.

Nagl, J., "Arms Control in the Year 2025," *Arms Control, Cooperative Security in a Changed Environment*, Larsen, J., ed., 2001.

Pilat, J., "Verification and Transparency: Essential Tools," *Arms Control, Cooperative Security in a Changed Environment*, Larsen, J., ed., 2001.

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Rattray, G., "Cyberwar, Information Operations and Arms Control," *Arms Control, Cooperative Security in a Changed Environment*, Larsen, J., ed., 2001.

Roberts, B., "East Asia," *Arms Control, Cooperative Security in a Changed Environment*, Larsen, J., ed., 2001.

Roberts, G., "Cooperative Security Efforts," *Arms Control, Cooperative Security in a Changed Environment*, Larsen, J., ed., 2001.

Schelling, T., "Foreword," *Arms Control, Cooperative Security in a Changed Environment*, Larsen, J., ed., 2001.

Segell, G., "The Middle East," *Arms Control, Cooperative Security in a Changed Environment*, Larsen, J., ed., 2001.

Spector, L., "Nuclear Proliferation," *Arms Control, Cooperative Security in a Changed Environment*, Larsen, J., ed., 2001.

Sim, J., "The Domestic Context," *Arms Control, Cooperative Security in a Changed Environment*, Larsen, J., ed., 2001.

Waller, F., "Strategic Nuclear Arms Control," *Arms Control, Cooperative Security in a Changed Environment*, Larsen, J., ed., 2001.

Wheeler, M., "A History of Arms Control: The Experience of the West," *Arms Control, Cooperative Security in a Changed Environment*, Larsen, J., ed., 2001.

Wirtz, J., "Conclusion: The Future of Arms Control," *Arms Control, Cooperative Security in a Changed Environment*, Larsen, J., ed., 2001.

DoD KEY TECHNOLOGY AREAS: Other (Arms Control)

KEYWORDS: Arms Control, Missile Defense, Nuclear Weapons, Nuclear Deterrence, Antiballistic Missile Treaty

JOINT EXPERIMENTATION – RECOMMENDATION OF ADDITIONAL INTEGRATING CONCEPTS

James J. Wirtz, Professor
Department of National Security Affairs
Sponsor: U.S. Joint Forces Command

OBJECTIVE: This project identifies additional integrating concepts related to effects based operations.

DoD KEY TECHNOLOGY AREAS: Other (Joint Operations)

KEYWORDS: Effects Based Operations, Joint Operations

NUCLEAR FORCES IN THE 21ST CENTURY

James J. Wirtz, Professor
Department of National Security Affairs
Sponsor: Defense Threat Reduction Agency

OBJECTIVE: The project is intended to preserve the body of knowledge about nuclear weapons and strategy generated during the Cold War, adapt and apply this theory and practice to the evolving

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international security environment and to supply the next generation of officers and policymakers with the expertise needed to manage the U.S. Nuclear Arsenal well into the 21st century.

DoD KEY TECHNOLOGY AREAS: Other (Arms Control)

KEYWORDS: Nuclear Weapons, Nuclear Defense, Arms Control, Nuclear Stockpile Stewardship

STRATEGY IN THE CONTEMPORARY WORLD

James J. Wirtz, Professor

Department of National Security Affairs

Sponsor: Office of Naval Research

OBJECTIVE: The purpose of this project is to conduct a workshop to identify emerging threats and to update traditional notions about strategy to meet contemporary challenges encountered in using force to achieve political ends.

SUMMARY: Since the end of the Cold War, U.S. analysts and strategists have faced a crisis. On the one hand, they are well versed with the enduring concepts of strategy, intelligence and the procedures and lessons generated by nearly fifty years of Cold War. On the other hand, there is a widespread notion that traditional ways of doing business no longer respond to emerging challenges. Further complicating matters is the fact that the study of strategy and national security issues fell out of fashion during the 1990s, creating an entire generation of junior officers and analysts who have not been exposed to traditional strategic ideas. Events like the Gulf War, Bosnia, Kosovo, Desert Fox, “intelligence surprises” (Indian and Pakistan nuclear testing) and the tragic attacks of 11 September 2001 demonstrate a mastery of the principles of intelligence and strategy are the cornerstone of U.S. foreign and defense policy.

In response to these challenges, James J. Wirtz led a team of highly acclaimed scholars (Professor John Baylis, Professor and Head of the Department of Politics and the Director of the Center for the Study of Conflict at the University of Wales; Professor Eliot Cohen, Director of the Center for Strategic Education in the Paul Nitze School of Advanced International Studies, Johns Hopkins University; and Professor Colin Gray, Director of the Center for Strategic Studies, University of Reading) in a project intended to updating and applying traditional strategic concepts to today’s security challenges while creating materials to educate the next generation of officers and civilians in issues of strategy. They assembled an international team of scholars to address:

- Enduring Issues of Strategy
- The Evolution of Joint Warfare
- Twentieth-century Theories and Update
- Contemporary Issues of Grand Strategy

Phase One: With funding supplied by Joint Forces Command (J9) and the Naval Information Warfare Activity, an international conference of strategists, intelligence analysts and policymakers was held at the Naval Postgraduate School, Monterey, California 19-21 September 2000. The conference allowed participants to discuss how traditional strategic concepts to applied to contemporary security challenges. The findings of the conference were supplied to both sponsors in the form of a conference report that was delivered at the close of FY00.

Phase Two: During FY01 participants at the conference further refined their analyses of contemporary strategic and security issues. Chapters were subjected to complete revision in light of comments produced by the editorial team. The editorial process culminated in the fall of 2001 in a manuscript that was submitted to Oxford University Press for publication as a textbook. The final product, *Strategy in the Contemporary World: An Introduction to Strategic Studies* was published in January 2002.

DoD KEY TECHNOLOGY AREAS: Other (Strategic Studies)

KEYWORDS: Naval Strategy, Arms Control, WMD, Joint Strategy

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SUPPORT TO NAVAL RESERVE UNIT, ALAMEDA

James J. Wirtz, Professor

Department of National Security Affairs

Sponsor: COMNAVRESREDCOMREG 19

OBJECTIVE: The purpose is to provide a series of lectures to Commander in Chief, Pacific Fleet, Detachment 320. The lectures will cover a broad range of issues of interest to Naval Intelligence.

DoD KEY TECHNOLOGY AREA: Other (Naval Intelligence)

KEYWORDS: National Security Affairs, People's Liberation Army, Asymmetric Warfare, National Missile Defense, Media

EUROPE AND INFORMATION WARFARE

David S. Yost, Professor

Department of National Security Affairs

Sponsor: Naval Information Warfare Activity

OBJECTIVE: The objective of this continuing project is to advance understanding of European security policy developments, especially with regard to the information warfare aspects of the "Revolution in Military Affairs." This includes matters such as doctrine, education and training, system development, and technology transfer policy in major NATO European governments, military organizations, and industrial establishments.

SUMMARY: Some theorists contend that a "Revolution in Military Affairs" takes place when new technologies are combined with innovative operational concepts and organizational adaptations that fundamentally change the character and conduct of military operations. This research effort has emphasized the analysis of primary sources from publications in NATO Europe regarding the information warfare aspects of the "Revolution in Military Affairs." A broad definition of "information warfare" has been utilized, in order to encompass means to exploit information systems, to attack those of adversaries, and to protect one's own and those of allies.

PUBLICATION:

Yost, D.S., "The NATO Capabilities Gap and the European Union," *Survival*, Vol. 42, pp. 97-128, Winter 2000-2001.

THESES DIRECTED:

Himes, S., "NATO and the European Union's Emerging Security Role," Masters Thesis, Naval Postgraduate School, March 2001.

Polli, G., "The European Security and Defense Identity: A Challenge for NATO and the United States," Masters Thesis, Naval Postgraduate School, March 2001.

DoD KEY TECHNOLOGY AREAS: Electronic Warfare, Other (Nuclear Deterrence, Revolution in Military Affairs)

KEYWORDS: France, Europe, Information Warfare, NATO, Nuclear Deterrence, Revolution in Military Affairs

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EUROPEAN SECURITY AND NATO NUCLEAR POLICY

David S. Yost, Professor

Department of National Security Affairs

Sponsor: Under Secretary of Defense for Policy and Office of the Secretary of Defense

OBJECTIVE: The objective was to advance understanding of European security policy developments, notably with regard to NATO nuclear weapons policy. This included matters such as nuclear deterrence doctrine in the Alliance and policy debates in major NATO European countries. The issues included the future of nuclear deterrence, conventional deterrence and force planning, missile defense, developments in Russia and elsewhere in the former Soviet Union, the proliferation of weapons of mass destruction, and European security and defense identity.

SUMMARY: Expert observers on both sides of the Atlantic have expressed concern regarding Russian non-strategic nuclear forces (NSNF), including the lack of transparency and the uncertainties about Moscow's implementation of the 1991-1992 commitments. The Russians have to date been unresponsive regarding NATO's proposed confidence and security-building measures (CSBMs) for NSNF.

PUBLICATIONS:

Yost, D.S., "Russia's Non-Strategic Nuclear Forces," *International Affairs*, Vol. 77, pp. 531-551, July 2001.

Yost, D.S., "France's Commitment to Nuclear Deterrence," *Comparative Strategy*, Vol. 20, pp. 251-258, July-September 2001.

Yost, D.S., "France's Commitment to Nuclear Deterrence," *Rationale and Requirements for U.S. Nuclear Forces and Arms Control*, Vol. II: *Foundation Report*, Payne, K., ed., pp. D1-D6, Fairfax, VA: National Institute for Public Policy, 2001.

DoD KEY TECHNOLOGY AREA: Other (Nuclear Deterrence, Revolution in Military Affairs)

KEYWORDS: Strategy, France, Europe, NATO, Nuclear Deterrence, Revolution in Military Affairs

NATIONAL MISSILE DEFENSE AND EUROPEAN SECURITY

David S. Yost, Professor

Department of National Security Affairs

Sponsor: U.S. Air Force Headquarters

OBJECTIVE: The purpose of this project was to advance understanding of NATO European views on U.S. National Missile Defense (NMD) plans, particularly since January 1999. The issues included the future of the 1972 Anti-Ballistic Missile (ABM) Treaty, Theater Missile Defense (TMD), ballistic missile proliferation, deterrence, strategic stability, arms control, and U.S. nuclear commitments to NATO European security.

SUMMARY: As in previous transatlantic debates about missile defense (in 1967-1972 and 1983-1988), the Allies have expressed concern about the implications of U.S. missile defenses for relations with Russia, strategic stability, arms control and nonproliferation, deterrence, and the trans-Atlantic link. Even the old argument that U.S. missile defenses could cause "decoupling" and create "differing zones of security" within the Alliance has been raised. If the ABM Treaty cannot be retained in its current form, Europeans generally declare, they would strongly prefer an amended ABM Treaty or some other U.S.-Russian agreed framework, in the interests of promoting nonproliferation, reassuring public opinion, and maintaining constructive relations with Russia. Despite the strong arguments for U.S.-Russian agreement in jointly terminating the ABM Treaty regime, the Russians appear at present inclined to make the United States bear all the political responsibility of withdrawal from the ABM Treaty. They nonetheless evidently recognize that it would not be in their interests to over-dramatize the implications of such a U.S. decision.

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THESIS DIRECTED:

Baze, M.W., "Assessing Russian Reactions to U.S. Missile Defense," Masters Thesis, Naval Postgraduate School, September 2001.

DoD KEY TECHNOLOGY AREA: Other (European Security)

KEYWORDS: Russia, Europe, NATO, Strategy, Crisis Management

NATO'S NEW ROLES IN INTERNATIONAL SECURITY

David S. Yost, Professor

Department of National Security Affairs

Sponsor: United States Institute of Peace Fellowship

OBJECTIVE: The objective of this project is to advance understanding of NATO's new roles in international security, particularly with regard to collective security endeavors undertaken on behalf of the international community, such as the peace enforcement efforts underway in Bosnia since late 1995 and in Kosovo since March 1999.

SUMMARY: While the Atlantic Alliance has multiple functions, it originated as, and remains, a group of nations dedicated to collective defense — ensuring protection for the Allies against direct aggression or coercion. Since 1990, however, collective security has become increasingly prominent in the Alliance's words and deeds. The words include NATO's offers, beginning in 1992, to support the United Nations and the Organization for Security and Cooperation in Europe in peacekeeping operations; its commitments since 1994 to the 27 non-NATO nations in the Partnership for Peace; and its declarations that "security is indivisible" throughout what has since the end of the Cold War often been called the Euro-Atlantic area — the vast region consisting of North America, Europe, and the former Soviet Union, including the former Soviet republics in the Caucasus and Central Asia. The deeds encompass the many Partnership for Peace exercises and other activities oriented toward peacekeeping; the efforts to devise Combined Joint Task Forces that could be used for crisis management and peacekeeping by NATO-approved "coalitions of the willing;" and, most significantly, NATO's first military operations involving actual combat — the interventions in the former Yugoslavia that made possible the Dayton accords and the NATO-led implementation and stabilization forces (IFOR and SFOR) in Bosnia and the Kosovo Force (KFOR) in Kosovo.

PUBLICATION:

Yost, D.S., "NATO's Contributions to Conflict Management," *Turbulent Peace: The Challenges of Managing International Conflict*, Crocker, C.A., Hampson, F.O. and Aall, P., eds., Washington, D.C.: United States Institute of Peace Press, pp. 585-602, 2001.

PRESENTATION:

Yost, D.S., "NATO-Russia Relations," NATO: No Action, Talk Only — No More? Conference, U.S. Naval Institute and the Robert R. McCormick Tribune Foundation, Wheaton, IL, 8 March 2001.

THESES DIRECTED:

Inskeep, C.H., "Adaptations in NATO and European Naval Command Organizations Since 1989," Masters Thesis, Naval Postgraduate School, March 2001.

Shupp, B.A., "U.S. Participation in Balkan Peacekeeping: The Rice Proposal," Masters Thesis, Naval Postgraduate School, December 2001.

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DoD KEY TECHNOLOGY AREA: Other (International Security)

KEYWORDS: Strategy, Europe, NATO, Crisis Management, Collective Security, Peacekeeping